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MODIFIED PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL	Attorney Docket No. 06119.00007	
	First Inventor	Scott Johnston
	Title	DERIVATIVES TRADING METHODS THAT USE A VARIABLE ORDER PRICE AND A HEDGE TRANSACTION
	Express Mail Label No.	EL 941343778 US

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages 27] (preferred arrangement set forth below)</p> <ul style="list-style-type: none">- Descriptive title of the invention- Cross Reference to Related Applications- Statement Regarding Fed sponsored R & D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the invention- Brief Summary of the invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 08]</p> <p>a. <input checked="" type="checkbox"/> Formal; or</p> <p>b. <input type="checkbox"/> Informal</p> <p>5. Oath or Declaration [Total Pages 03]</p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy); or</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for a continuation/divisional with Box 18 completed)</p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p>
ACCOMPANYING APPLICATIONS PARTS	
<p>9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>10. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)</p> <p>11. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>17. <input checked="" type="checkbox"/> Other: <u>Certificate of Express Mailing</u></p>	

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

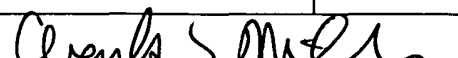
of prior application No: 10 / 385,152

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS					
<input type="checkbox"/> Customer Number or Bar Code Label		22908		or <input type="checkbox"/> Correspondence address below	
		(Insert Customer No. or Attach bar code label here)			
Name	Charles L. Miller				
	Banner & Witcoff, Ltd.				
Address	10 South Wacker Drive				
	Suite 3000				
City	Chicago	State	IL	Zip Code	60606
Country	United States	Telephone	(312)463-5000	Fax	(312)463-5001

Name (Print/Type)	Charles L. Miller	Registration No. (Attorney/Agent)	43,805
Signature		Date	July 1, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

21906 U.S. PTO

10/611458



07/01/03

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2003</h2> <p style="margin: 0; font-size: small;">Patent fees are subject to annual revision.</p>		<p style="margin: 0; font-size: small;">Complete if Known</p>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Application Number	Continuation in Part of U.S. 10/385,152
TOTAL AMOUNT OF PAYMENT (\$) 1312		Filing Date	July 1, 2003
		First Named Inventor	Scott Johnston
		Examiner Name	Not Assigned
		Art Unit	Not Assigned
		Attorney Docket No.	06119.00007

<p style="margin: 0; font-size: small;">METHOD OF PAYMENT (check all that apply)</p> <p style="margin: 0; font-size: small;"> <input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None Order </p> <p style="margin: 0; font-size: small;"><input checked="" type="checkbox"/> Deposit Account:</p> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 45%;"> <p style="margin: 0; font-size: x-small;">Deposit Account Number</p> <div style="border: 1px solid black; padding: 2px;">19-0733</div> </div> <div style="width: 45%;"> <p style="margin: 0; font-size: x-small;">Deposit Account Name</p> <div style="border: 1px solid black; padding: 2px;">Banner & Witcoff, Ltd.</div> </div> </div> <p style="margin: 5px 0; font-size: x-small;">The Commissioner is authorized to: (check all that apply)</p> <p style="margin: 0; font-size: x-small;"> <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account. </p>					<p style="margin: 0; font-size: small;">FEE CALCULATION (continued)</p>																																																																																																																																																																																																																																																
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late filing fee or oath		1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.		1053	130	1053	130	Non-English specification		1812	2,520	1812	2,520	For filing a request for <i>exparte</i> reexamination		1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action		1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action		1251	110	2251	55	Extension for reply within first month		1252	410	2252	205	Extension for reply within second month		1253	930	2253	465	Extension for reply within third month		1254	1,450	2254	725	Extension for reply within fourth month		1255	1,970	2255	985	Extension for reply within fifth month		1401	320	2401	160	Notice of Appeal		1402	320	2402	160	Filing a brief in support of an appeal		1403	280	2403	140	Request for oral hearing		1451	1,510	1451	1,510	Petition to institute a public use proceeding		1452	110	2452	55	Petition to revive - unavoidable		1453	1,300	2453	650	Petition to revive - unintentional		1501	1,300	2501	650	Utility issue fee (or reissue)		1502	470	2502	235	Design issue fee		1503	630	2503	315	Plant issue fee		1460	130	1460	130	Petitions to the Commissioner		1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)		1806	180	1806	180	Submission of Information Disclosure Stmt		8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40	1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))		1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))		1801	750	2801	375	Request for Continued Examination (RCE)		1802	900	1802	900	Request for expedited examination of a design application		Other fee (specify) _____						SUBTOTAL (3)					(\$ 40)
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<p style="margin: 0; font-size: small;">2. EXTRA CLAIM FEES</p> <table style="width: 100%; font-size: x-small;"> <tr> <td>Total Claims</td> <td>35</td> <td>-20 **</td> <td>=</td> <td>15</td> <td>X</td> <td>18</td> <td>=</td> <td>270</td> </tr> <tr> <td>Independent Claims</td> <td>6</td> <td>-3 **</td> <td>=</td> <td>3</td> <td>X</td> <td>84</td> <td>=</td> <td>252</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> <td></td> <td>X</td> <td></td> <td>=</td> <td>0</td> </tr> </table> <table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>1202</td> <td>18</td> <td>2202</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>1201</td> <td>84</td> <td>2201</td> <td>42</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>1203</td> <td>280</td> <td>2203</td> <td>140</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>1204</td> <td>84</td> <td>2204</td> <td>42</td> <td>** Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>1205</td> <td>18</td> <td>2205</td> <td>9</td> <td>** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;">SUBTOTAL (2)</td> <td>(\$ 522)</td> </tr> </tbody> </table> <p style="margin-top: 10px; font-size: x-small;">**or number previously paid, if greater; For Reissues, see above</p>					Total Claims	35	-20 **	=	15	X	18	=	270	Independent Claims	6	-3 **	=	3	X	84	=	252	Multiple Dependent					X		=	0	Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1202	18	2202	9	Claims in excess of 20		1201	84	2201	42	Independent claims in excess of 3		1203	280	2203	140	Multiple dependent claim, if not paid		1204	84	2204	42	** Reissue independent claims over original patent		1205	18	2205	9	** Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)					(\$ 522)	<p style="margin: 0; font-size: small;">Other fee (specify) _____</p> <p style="margin: 0; font-size: small;">*Reduced by Basic Filing Fee Paid</p>																																																																																																																																																																							
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<p style="margin: 0; font-size: small;">SUBMITTED BY</p>		<p style="margin: 0; font-size: small;">Complete (if applicable)</p>	
Name (Print/Type)	Charles L. Miller	Registration No. Attorney/Agent	43,805
Signature			Telephone
		Date	July 1, 2003

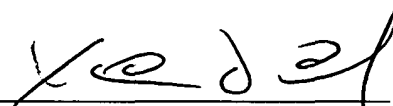
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By: 
(person actually depositing)

In the Application of: Scott Johnston, et al

Continuation in Part of Serial No: 10/385,152

Filing Date: July 1, 2003

Title: DERIVATIVES TRADING METHODS THAT USE A VARIABLE ORDER PRICE AND
A HEDGE TRANSACTION

- X Utility Patent Application Transmittal Form PTO/SB/05
- X Fee Transmittal Form PTO/SB/17 (in duplicate)
- X Application Data Sheet (6 pages)
- X Specification (27 Pages)
- X 8 Sheets of Formal Drawings (Fig. 1- Fig.8)
- X Executed Declaration and Power of Attorney (3 pages)
- X Recordation Form Cover Sheet Form PTO-1595
- X Executed Assignment (2 pages)
- X Return Receipt Postcard

Attorney Docket No.: 06119.00007